

5-9 9
2

Chapter 1

GENERAL INFORMATION

Section A—General Requirements

1-1. Cross-References:

- a. DOD 5200.2-R, DOD Personnel Security Program (USDP).
- b. DOD 5200.1-R/AFR 205-1, Information Security Program.
- c. DOD 5220.22-R/AFR 205-4, Air Force Participation in the DOD Industrial Security Regulation.
- d. Executive Order 10450, Security Requirements for Government Employment.
- e. AFR 35-99, Nuclear Weapons Personnel Reliability Program (PA).
- f. AFR 40-7, volume I, Nonappropriated Funds Personnel (NAF) Management and Administration Standardized Position Description (SPD) and Classification Standard Use.
- g. AFR 125-37, The Resources Protection Program (PA).
- h. AFR 205-25, (S) Safeguarding the Single Integrated Operational Plan (SIOP)(U).
- i. AFR 205-43, (C) Safeguarding NATO Classified Information (U).
- j. AFR 207-1, (C) The Air Force Physical Security Program (PA) (U).

* ~~k. USAFINTEL 201-1, (TS) The Security, Use and Dissemination of Sensitive Compartmented Information (SCI)(U).~~

NOTE: For additional guidance refer to attachments 1 through 11.

1-2. Applicability of This Regulation:

a. This regulation implements the Air Force Personnel Security Program (PSP) and takes precedence over all other departmental issuances affecting the PSP.

b. Only the investigatory provisions apply to contractor personnel. However, the unfavorable administrative action provisions of chapter 8, section B, also apply to those contractor personnel who require access to Sensitive Compartmented Information (SCI). Clearance procedures pertaining to contractor personnel are in DOD 5220.22-R/AFR 205-4. The Air Force does not grant security clearances to contractor personnel.

c. This regulation also applies to:

(1) Air Force military members or applicants, including Air National Guard (ANG) and US Air Force Reserve (USAFR) personnel.

(2) Civilian employees of the Air Force, including applicants for employment, who are:

(a) Compensated from appropriate or nonappropriated funds.

(b) Hired on a per diem basis.

(c) Serving in an advisory capacity on a permanent, temporary, or part-time basis, even though they are not compensated for their services.

(d) Immigrant alien and non-US national personnel affiliated with the Air Force.

(e) Persons selected for duties involving the education and orientation of Air Force personnel. It does not usually apply to persons hired to teach off-duty educational courses. See AFR 213-1 for overseas area program requirements.

(f) Contractor personnel requiring unescorted entry to restricted areas containing Priority A, B, or C resources.

(g) Contract maintenance personnel performing Presidential Support duties.

(h) Individuals performing sensitive duties not covered above; refer to paragraph 3-9 for investigation request procedures.

d. Under combat conditions or other military exigencies, the Secretary of the Air Force (SAF) may waive provisions of this regulation as the circumstances warrant, even though some of the provisions may be DOD policies.

1-3. Personnel Security Program Authority.

Headquarters Air Force Office of Security Police, Directorate of Information Security, HQ AFOSP/SPI, located at Kirtland AFB NM 87117-6001 administers the Personnel Security Program.

1-4. Personnel Security Program Policies. Only US citizens may be assigned to sensitive duties or granted access to classified information. Non-US citizens may not be assigned to sensitive duties, granted a personnel security clearance, or granted access to classified information. SAF or designees may authorize an exception in rare instances when a non-US citizen has special expertise which serves the national interest. Non-US citizens may be employed in the competitive service in sensitive civilian positions only after specific approval by the Office of Personnel Management (OPM). Exceptions to

these requirements are permitted only for compelling national security reasons.

Section B—Criteria for Application of Security Standards

1-5. Clearance and Sensitive Position Standard.

This is the personnel security standard which must be applied to determine a person's eligibility for access to classified information. Both access to classified information and assignment to sensitive duties must be based on whether the person's loyalty, reliability, and trustworthiness are clearly consistent with the interests of national security. Requests for security clearances must be limited to those absolutely required for mission accomplishment.

1-6. Military Service Standard. The personnel security standard to apply in determining whether a person is suitable for appointment, enlistment, induction, or retention in the Air Force is based on national security criteria. The absence of reasonable doubt concerning a person's loyalty to the US Government is included in this criteria. However, the ultimate determination must be an overall common sense judgment based on all available information. Determinations must reflect the rationale of those guidelines in paragraph 1-7. The Air Force Security Clearance Office (AFSCO) is the only Air Force agency authorized to initiate discharge actions for security reasons.

a. Separation Under Other Regulations or Directives. Discharge actions may not be processed under this chapter until the procedures in either the AF 35-, 36-, or 39-series regulations or those in the Uniform Code of Military Justice have been determined inappropriate.

b. Denial of Appointment or Enlistment. Directives in the AF 35-, 36-, and 39-series contain procedures for processing cases for determinations of either denial or initial appointment or of enlistment in the Air Force in the interests of national security.

1-7. Criteria for Application of Security Standards. The ultimate decision in applying either of the security standards in paragraphs 1-5 and 1-6 must be an overall common sense determination based on all available facts. The criteria for determining eligibility for a clearance under the security standard will be based on, but not limited to the following:

a. Commission of any act of sabotage, espionage, treason, terrorism, anarchy, sedition,

or attempts thereat or preparation therefor, or conspiring with or aiding or abetting another to commit or attempt to commit any such act.

b. Establishing or continuing a sympathetic association with a saboteur, spy, traitor, seditionist, anarchist, terrorist, or revolutionist, or with an espionage or other secret agent or representative of a foreign nation whose interests are inimical to the interests of the United States, or with any person who advocates the use of force or violence to overthrow the Government of the United States or alter the form of Government of the United States by unconstitutional means.

c. Advocacy of use of force or violence to overthrow the Government of the United States or to alter the form of Government of the United States by unconstitutional means.

d. Knowing membership with the specific intent of furthering the aims of, or adherence to and active participation in, any foreign or domestic organization, association, movement, group, or combination of persons (hereafter referred to as organizations) which unlawfully advocates or practices the commission of acts of force or violence to prevent others from exercising their rights under the Constitution or laws of the United States or of any state which seeks to overthrow the Government of the US or any state or subdivision thereof by unlawful means.

e. Unauthorized disclosure to any person of classified information, or of other information, the disclosure of which is prohibited by statute, Executive Order, or regulation.

f. Performing or attempting to perform one's duties, or commission of acts which serve or which could be expected to serve the interests of another government in preference to the interests of the United States.

g. Disregard of public law, statutes, Executive orders, or regulations including violation of security regulations or practices.

h. Criminal or dishonest conduct.

i. Acts of omission or commission which indicate poor judgment, unreliability, or untrustworthiness.

j. Any behavior or illness, including any mental condition which, in the opinion of competent medical authority (clinical psychologist or board eligible or board certified psychiatrist), may cause significant defects in judgment or reliability with due regard to the transient or continuing effect of the illness and the medical findings in such cases.

k. Vulnerability to coercion, influence, or pressure that may cause conduct contrary to the national interest. This may be (1) the presence of immediate family members or other persons to whom the applicant is bonded by affection or obligation in a nation (or areas under its domination) whose interests may be inimical to those of the United States, or (2) any other circumstances which could cause the applicant to be vulnerable.

l. Excessive indebtedness, recurring financial difficulties, or unexplained affluence.

m. Habitual or episodic use of intoxicants to excess.

n. Illegal or improper use, possession, transfer, sale, or addiction to any controlled or psychoactive substance, narcotics, cannabis or other dangerous drug.

o. Any knowing and willful falsification, cover-up, concealment, misrepresentation, or omission of a material fact from any written or oral statement, document, form, or other representation or device used by the Air Force, Department of Defense, or any other federal agency.

p. Failing or refusing to answer or to authorize others to answer questions or provide information required by a congressional committee, court, or agency in the course of an official inquiry whenever such answers or information concern relevant and material matters pertinent to an evaluation of the individual's trustworthiness, reliability, and judgment.

q. Acts of sexual misconduct, or perversion indicative of moral turpitude, poor judgment, or lack of regard for the laws of society.

1-8. Security Acceptability of Civilian Employees. AFSCO personnel use AFR 40-732, Civilian Personnel Security Program, to determine the security acceptability of nonacceptability of civilian employees and applicants for assignment or appointment to, or retention in, sensitive positions. AFSCO personnel may concurrently deny or revoke security clearance eligibility or unescorted entry to restricted areas. AFSCO personnel do not make a security clearance eligibility determination on civilian employees in nonsensitive positions.

Section C—Responsibilities Assigned

1-9. HQ AFOSP Responsibilities. HQ AFOSP/SPI, Kirtland AFB NM 87117-6001 formulates, interprets and disseminates personnel security policy and ensures:

a. The PSP is administered within the Air Force in a manner consistent with this regulation and DOD policies and procedures.

b. A single authority within the office of the SAF administers the Air Force program. This single authority is the Administrative Assistant to the SAF (SAF/AA).

c. Data is maintained to identify annually:

(1) The number of personnel involved, part-time and full-time, adjudicating personnel security cases;

(2) The number of man-years expended in adjudicating personnel security cases;

(3) The number and level of personnel security clearances issued;

(4) The number of positions designated sensitive, by designation criteria; and

(5) The number of adverse personnel security determinations, by category.

1-10. AFSCO Responsibilities. AFSCO is the Air Force centralized adjudicative authority for granting security clearance eligibility, revoking or denying clearance eligibility, the Office of Primary Responsibility (OPR) for the Presidential Support Program and Automated Security Clearance Approval System (ASCAS) information.

1-11. Major Command (MAJCOM), Separate Operating Agency (SOA), and Direct Reporting Unit (DRU) Responsibilities. MAJCOMs, SOAs and DRUs are the primary points of contact between HQ AFOSP and individual bases. Responsibilities of the SPI function include:

a. Identifying command-unique requirements and standardizing command procedures to meet those requirements, where possible.

b. Ensuring training of base authorized requesters of personnel security investigations in PSP requirements and procedures.

c. Ensuring supplements to the PSP published by subordinate activities do not conflict with Air Force and command policies.

d. Monitoring the PSP of subordinate activities to determine the:

(1) Quality of personnel security investigation requests;

(2) Methods of establishing and processing Special Security Files (SSF); and

(3) Adequacy and timeliness of responses to requests from Defense Investigative Service (DIS) and AFSCO requests for additional information when a case is being processed.

e. Coordinating with the MAJCOM or SOA Director of Personnel for observance of PSP requirements when hiring Department of Air Force (DAF) federal civilian personnel, and encouraging coordination between subordinate activities and their civilian personnel counterparts.

f. Conducting annual program reviews of the PSP at their installations and DRUs. PSP program officials must thoroughly examine the PSP during this review. These reviews are normally conducted in conjunction with the Information Security Program review required by DOD 5200.1-R/AFR 205-1.

g. Ensuring subordinate chiefs of security police conduct annual program reviews at the activities they service. In addition to an examination of the PSP, base program review officials must examine the PSP aspects of the civilian personnel program to include hiring and placement procedures.

h. Publishing command supplements to identify and provide guidance for unique command program requirements or needs in accordance with AFR 5-1. They must also:

(1) Forward one copy of each final MAJCOM or SOA supplement to HQ AFOSP/SPIA, Kirtland AFB NM 87117-6001.

(2) Send one final copy of each implementing directive issued below command level to the parent command SPI office.

(3) Process proposed supplements which affect any function of an active duty consolidated base personnel office (CBPO), an Air Reserve force CBPO, or consolidated reserve personnel office (CRPO) through the CBPO management division to HQ AFMPC/MPCY-COE for evaluation, then to HQ AFOSP/SPIA, Kirtland AFB NM 87117-6001, for final issuance approval.

(4) Process proposed supplements which affect any function of the central civilian personnel office (CCPO) through the CCPO and the MAJCOM/DPC, to HQ USAF/DPCE for evaluation, then to HQ AFOSP/SPIA for final issuance approval.

NOTE: HQ AFOSP/SPI coordination is required to ensure DPC or DPCE suggested changes to the supplement do not detract from the intent of the supplemental program.

1-12. HQ USAF/INSB Responsibilities. HQ USAF/INSB adjudicates requests and deter-

mines individual eligibility for SCI access by Air Force personnel. Detailed SCI program management guidelines are contained in USAFINTEL 201-1 with an SCI program overview in AFR 200-7, Sensitive Compartmented Information (SCI) Security System.

1-13. ~~Defense Investigative Service and Air Force Interface—Responsibilities.~~ The DIS provides a single, centrally directed personnel security investigative service which conducts personnel security investigations within the 50 states, District of Columbia, and Commonwealth of Puerto Rico for DOD components, except as provided for in DOD Directive 5100.23, Administrative Arrangements for the National Security Agency (copies available through normal publishing channels). The DIS requests the military departments to accomplish its investigative requirements in other geographical areas. No other DOD component will conduct personnel security investigations unless specifically authorized by the Deputy Under Secretary of Defense for Policy Review.

a. The Air Force Office of Special Investigations (AFOSI), other military department investigative agencies, and the Department of State support the DIS by conducting personnel security investigations for the DIS outside the above areas, when requested. Command cooperation with the DIS is necessary to ensure Air Force investigative requirements are met.

b. HQ AFOSP/SPI is the Air Force point of contact with DIS on policy matters.

c. ~~The AFSCO is the point of contact for processing personnel security investigations, tracers, cancellations, adverse action reports, recording security clearance data in the Defense Central Index of Investigations, and for transmitting security clearance data through computer systems for the ASCAS.~~

d. Air Force units may communicate directly with DIS only in making routine requests for personnel security investigations and Privacy and Freedom of Information Act (FOIA) requests. Direct other communications to HQ AFOSP/SPI, Kirtland AFB NM 87117-6001 through command channels, or to the AFSCO as indicated above.

NOTE. These policies do not apply to inquiries from AFOSI to DIS when the subject of the inquiry is other than a personnel security issue.